

RECEIVED

::ODMA\MHODMA\iManage;227689;1  
RWW/SAB/hw  
May 25, 2001

SEP 13 2001

PATENT APPLICATION  
Docket No.: 2875.1001-007

TECH CENTER 1600/2900

*Receipt*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Applicants:

C. Thomas Caskey, John M. Shumaker and Andres Metspalu

Application No.:

09/711,476

Group: 1655

Filed:

November 13, 2000

Examiner: Not Assigned

For:

PARALLEL PRIMER EXTENSION APPROACH TO NUCLEIC  
ACID SEQUENCE ANALYSIS

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231	
on <u>6-4-01</u>	<u>Hollie Wakefield</u>
Date	Signature
HOLLIE WAKEFIELD	
Typed or printed name of person signing certificate	

REQUEST FOR CORRECTED FILING RECEIPT  
FOR UTILITY APPLICATION

Office of Initial Patent Examination  
Customer Service Center  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

We hereby request that the following information be corrected in the Filing Receipt for the subject application received in this office on May 4, 2001.

A copy of the Declaration/Power of Attorney which was filed concurrently with the application is submitted herewith.



09711,476

-2-

RECEIVED

SEP 13 2001

TECH CENTER 1600/2900

The errors and corrections appear below.

**In the title section, there is a typographical error in the first word, it reads:**

**"Parrallell Primer Extension Approach to Nucleic Acid Sequence Analysis"**

**It should read:**

**--Parallel Primer Extension Approach to Nucleic Acid Sequence Analysis--**

Enclosed are a copy of the Filing Receipt with changes noted in red, and a copy of the Declaration/Power of Attorney.

Pursuant to instructions in the February 29, 2000 O.G., we hereby request that the errors which are identified above be corrected in the captioned application to which this request for correction is directed. It is understood that the Patent Office will issue an automatically-generated, corrected Filing Receipt in this and, if applicable, any other affected applications.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By *Sandra A. Brockman*

Sandra A. Brockman

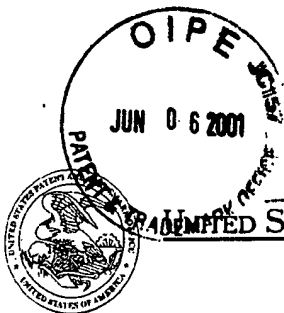
Registration No.: 44,045

Telephone: (781) 861-6240

Facsimile: (781) 861-9540

Lexington, MA 02421-4799

Date: *June 4, 2001*



COPY

Page 1 of 4  
RECEIVED

SEP 13 2001

UNITED STATES PATENT AND TRADEMARK OFFICE

TECH CENTER 1600/2900

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/711,476	11/13/2000	1655	1538	2875.1001-007	6	21	7

CONFIRMATION NO. 8353

UPDATED FILING RECEIPT



\*OC000000006017841\*

Richard W Wagner Esq  
Hamilton Brook Smith & Reynolds P C  
Two Militia Drive  
Lexington, MA 02421-4799

Date Mailed: 04/27/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

C. Thomas Caskey, Residence Not Provided;

**Domestic Priority data as claimed by applicant**

THIS APPLICATION IS A CON OF 08/564,100 03/06/1996 PAT 6,153,379  
WHICH IS A 371 OF PCT/US94/07086 06/22/1994

**Foreign Applications**

SWEDEN 9302152-5 06/22/1993

If Required, Foreign Filing License Granted 01/22/2001

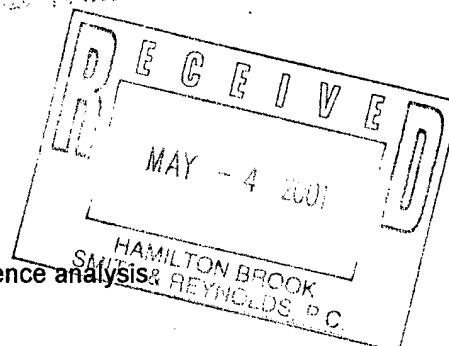
Projected Publication Date: N/A

Non-Publication Request: No

Early Publication Request: No

Title

\* ~~Parallel~~ primer extension approach to nucleic acid sequence analysis  
Parallel



Preliminary Class  
435

---

Data entry by : GUNTER RILEY, JOYCE

Team : OIPE

Date: 04/27/2001



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

COPY



DOCKET NO.: BCM94-01A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration for Patent Application

As a named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 3 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Parallel Primer Extension Approach to Nucleic Acid

Sequence Analysis

the specification of which (check one)

[ ] is attached hereto.

[X] was filed on 22 June 1994 as United States Application

Number or PCT International Application Serial No. PCT/US94/07086  
(U.S.S.N. 08/564,100)  
and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is known by me to be material to patentability as defined in 37 C.F.R. §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Priority  
Not  
Claimed

<u>SE9302152-5</u> (Number)	<u>Sweden</u> (Country)	<u>22 June 1993</u> (Day/Month/Year filed)	[ ]
<u>                    </u> (Number)	<u>                    </u> (Country)	<u>                    </u> (Day/Month/Year filed)	[ ]
<u>                    </u> (Number)	<u>                    </u> (Country)	<u>                    </u> (Day/Month/Year filed)	[ ]

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

<u>                                    </u> (Application Number)	<u>                                    </u> (Filing Date)
<u>                                    </u> (Application Number)	<u>                                    </u> (Filing Date)

COPY FOR CONTINUING  
APPLICATION

TECH CENTER 1600/2900

SEP 13 2001

RECEIVED

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the ~~right~~ <sup>182</sup> to disclose information known by me to be material to patentability as defined in 37 C.F.R. §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.)	(Filing date)	(Status, patented, pending, abandoned)
--------------------------	---------------	--

(Application Serial No.)	(Filing date)	(Status, patented, pending, abandoned)
--------------------------	---------------	--

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

I also hereby grant additional Powers of Attorney to the following attorney(s) and/or agent(s) to file and prosecute an international application under the Patent Cooperation Treaty based upon the above-identified application, including a power to meet all designated office requirements for designated states:

David E. Brook	Reg. No. 22,592	Thomas O. Hoover	Reg. No. 32,470
James M. Smith	Reg. No. 28,043	Alice O. Carroll	Reg. No. 33,542
Leo R. Reynolds	Reg. No. 20,884	N. Scott Pierce	Reg. No. 34,900
Patricia Granahan	Reg. No. 32,227	Richard A. Wise	Reg. No. 18,041
Mary Lou Wakimura	Reg. No. 31,804	Elizabeth W. Mata	Reg. No. 38,236

all of Hamilton, Brook, Smith and Reynolds, P.C., Two Militia Drive, Lexington, Massachusetts 02173;

and

Send correspondence to: Leo R. Reynolds, Esq.  
Hamilton, Brook, Smith & Reynolds, P.C.  
Two Militia Drive, Lexington, MA 02173

Direct telephone calls to: Leo R. Reynolds, Esq.  
617-861-6240 Fax: 617-861-9540

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole

or first inventor C. Thomas Caskey

Inventor's

Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 6402 Belmont  
Houston, Texas 77005

Citizenship US

Post Office Address same



Full name of second joint

inventor, if any John Shumaker

Second Inventor's

Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 719 Pizer

Houston, Texas 77009

Citizenship US

Post Office Address same

Full name of third joint

inventor, if any Andres Metspalu

Third Inventor's

Signature Andres Metspalu Date 02/19/1996

Residence 4-33 Kaunase Street

Tartu 2400 Estonia

Citizenship Estonia

Post Office Address same

Full name of fourth joint

inventor, if any \_\_\_\_\_

Fourth Inventor's

Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence \_\_\_\_\_

Citizenship \_\_\_\_\_

Post Office Address \_\_\_\_\_

Full name of fifth joint

inventor, if any \_\_\_\_\_

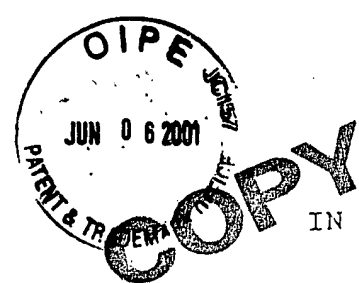
Fifth Inventor's

Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence \_\_\_\_\_

Citizenship \_\_\_\_\_

Post Office Address \_\_\_\_\_



DOCKL A. : BCM94-01A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

SEP 13 2001

TECH CENTER 1600/2900

Declaration for Patent Application

As a named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 3 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Parallel Primer Extension Approach to Nucleic AcidSequence Analysis

the specification of which (check one)

☐ is attached hereto.☒ was filed on 22 June 1994 as United States ApplicationNumber or PCT International Application Serial No. PCT/US94/07086  
(U.S.S.N. 08/564,100)  
and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is known by me to be material to patentability as defined in 37 C.F.R. §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)Priority  
Not  
ClaimedSE9302152-5  
(Number)Sweden  
(Country)22 June 1993  
(Day/Month/Year filed)☐                      
(Number)                      
(Country)                      
(Day/Month/Year filed)☐                      
(Number)                      
(Country)                      
(Day/Month/Year filed)☐

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

                                      
(Application Number)                                      
(Filing Date)                                      
(Application Number)                                      
(Filing Date)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information known by me to be material to patentability as defined in 37 C.F.R. §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.) (Filing date) (Status, patented, pending, abandoned)

(Application Serial No.) (Filing date) (Status, patented, pending, abandoned)

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

I also hereby grant additional Powers of Attorney to the following attorney(s) and/or agent(s) to file and prosecute an international application under the Patent Cooperation Treaty based upon the above-identified application, including a power to meet all designated office requirements for designated states:

David E. Brook	Reg. No. 22,592	Thomas O. Hoover	Reg. No. 32,470
James M. Smith	Reg. No. 28,043	Alice O. Carroll	Reg. No. 33,542
Leo R. Reynolds	Reg. No. 20,884	N. Scott Pierce	Reg. No. 34,900
Patricia Granahan	Reg. No. 32,227	Richard A. Wise	Reg. No. 18,041
Mary Lou Wakimura	Reg. No. 31,804	Elizabeth W. Mata	Reg. No. 38,236

all of Hamilton, Brook, Smith and Reynolds, P.C., Two Militia Drive, Lexington, Massachusetts 02173;

and

Send correspondence to: Leo R. Reynolds, Esq.  
Hamilton, Brook, Smith & Reynolds, P.C.  
Two Militia Drive, Lexington, MA 02173

Direct telephone calls to: Leo R. Reynolds, Esq.  
617-861-6240 Fax: 617-861-9540

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole

or first inventor C. Thomas Caskey

Inventor's

Signature

Date 2/10/96

Residence

6402 Belmont

Houston, Texas 77005

Citizenship

US

Post Office Address

same

Full name of second joint

inventor, if any John Shumaker

Second Inventor's

Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 719 Pizer

Houston, Texas 77009

Citizenship US

Post Office Address same

-----  
Full name of third joint

inventor, if any Andres Metspalu

Third Inventor's

Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 4-33 Kaunase Street

Tartu 2400 Estonia

Citizenship Estonia

Post Office Address same

-----  
Full name of fourth joint

inventor, if any \_\_\_\_\_

Fourth Inventor's

Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence \_\_\_\_\_

Citizenship \_\_\_\_\_

Post Office Address \_\_\_\_\_

-----  
Full name of fifth joint

inventor, if any \_\_\_\_\_

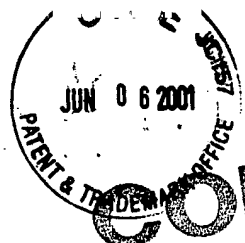
Fifth Inventor's

Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence \_\_\_\_\_

Citizenship \_\_\_\_\_

Post Office Address \_\_\_\_\_



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration for Patent Application

As a named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 3 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Parallel Primer Extension Approach to Nucleic Acid

Sequence Analysis

the specification of which (check one)

[ ] is attached hereto.

[X] was filed on 22 June 1994 as United States Application

Number or PCT International Application Serial No. PCT/US94/07086  
(U.S.S.N. 08/564,100)  
and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is known by me to be material to patentability as defined in 37 C.F.R. §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

<u>Prior Foreign Application(s)</u>			Priority Not Claimed
<u>SE9302152-5</u> (Number)	<u>Sweden</u> (Country)	<u>22 June 1993</u> (Day/Month/Year filed)	[ ]
_____ (Number)	_____ (Country)	_____ (Day/Month/Year filed)	[ ]
_____ (Number)	_____ (Country)	_____ (Day/Month/Year filed)	[ ]

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

_____ (Application Number)	_____ (Filing Date)
_____ (Application Number)	_____ (Filing Date)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information known by me to be material to patentability as defined in 37 C.F.R. §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.) (Filing date) (Status, patented, pending, abandoned)

(Application Serial No.) (Filing date) (Status, patented, pending, abandoned)

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

I also hereby grant additional Powers of Attorney to the following attorney(s) and/or agent(s) to file and prosecute an international application under the Patent Cooperation Treaty based upon the above-identified application, including a power to meet all designated office requirements for designated states:

David E. Brook	Reg. No. 22,592	Thomas O. Hoover	Reg. No. 32,470
James M. Smith	Reg. No. 28,043	Alice O. Carroll	Reg. No. 33,542
Leo R. Reynolds	Reg. No. 20,884	N. Scott Pierce	Reg. No. 34,900
Patricia Granahan	Reg. No. 32,227	Richard A. Wise	Reg. No. 18,041
Mary Lou Wakimura	Reg. No. 31,804	Elizabeth W. Mata	Reg. No. 38,236

all of Hamilton, Brook, Smith and Reynolds, P.C., Two Militia Drive, Lexington, Massachusetts 02173;

and

Send correspondence to: Leo R. Reynolds, Esq.  
Hamilton, Brook, Smith & Reynolds, P.C.  
Two Militia Drive, Lexington, MA 02173

Direct telephone calls to: Leo R. Reynolds, Esq.  
617-861-6240 Fax: 617-861-9540

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole

or first inventor C. Thomas Caskey

Inventor's

Signature \_\_\_\_\_ Date \_\_\_\_\_

Residence

6402 Belmont  
Houston, Texas 77005

Citizenship

US

Post Office Address

same

Full name of second joint

inventor, if any John Shumaker

Second Inventor's

Signature

Date

2 Feb 1996

Residence

719 Pizer

Houston, Texas 77009

Citizenship

US

Post Office Address

same

Full name of third joint

inventor, if any Andres Metspalu

Third Inventor's

Signature

Date

Residence

4-33 Kaunase Street

Tartu 2400 Estonia

Citizenship

Estonia

Post Office Address

same

Full name of fourth joint

inventor, if any

Fourth Inventor's

Signature

Date

Residence

Citizenship

Post Office Address

Full name of fifth joint

inventor, if any

Fifth Inventor's

Signature

Date

Residence

Citizenship

Post Office Address